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Carolyn C. Caires

Printed: Carolyn C. Caires



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Guenzler-Pukall et al.

Title: TREATMENT OF DIABETES

U.S. Serial No.: 10/729,704 Filing Date: 04 December 2003

Examiner: Not yet assigned Group Art Unit: 1614

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(b)

Sir:

Pursuant to 37 C.F.R. 1.56, 1.97, and 1.98, Applicants wish to call to the attention of the Examiner the enclosed "List of References Cited by Applicants" (Form PTO/SB/08A).

Applicants reserve the right to antedate any reference in accordance with standard procedure.

Citation of the documents is not to be construed as an admission that the documents are necessarily prior art with respect to the present application. In addition, this submission is understood to complement the results of the Examiner's own independent search. Citation of the documents shall not be construed as a representation that a search has been made or that the cited items are inclusive of all the relevant and material citations that may be available publicly. Any NCBI or other report included on the attached list may not have an accurate date for prior art purposes. Some of the documents may have markings thereon. No significance is meant to be

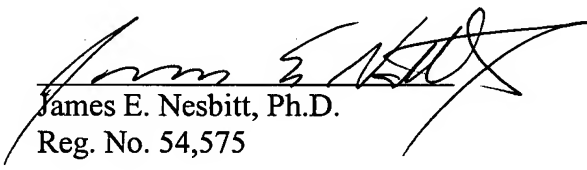
attached to the markings. Applicants respectfully request that the cited documents be considered by the Examiner and that an initialed copy of the Form PTO/SB/08A be returned to Applicants.

If there are any questions regarding this communication, please call the undersigned at 650-866-7200.

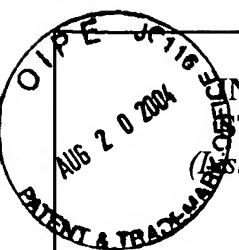
Applicants believe that no fee is due with this communication. If, however, the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge any necessary fees, or credit any overpayment, to **Deposit Account No. 50-0811**. **This form is enclosed in duplicate.**

Respectfully submitted,  
FibroGen, Inc.

DATE: 18 August 2007

  
James E. Nesbitt, Ph.D.  
Reg. No. 54,575

FibroGen, Inc.  
225 Gateway Boulevard  
South San Francisco CA 94080  
Main: 650-866-7200  
Direct: 650-866-7289  
Facsimile: 650-866-7204



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(List of References Cited by Applicants)

Sheet	1 of 2	U.S. Serial No.	10/729,704
		Filing Date	04 December 2003
		Applicant(s)	Guenzler-Pukall et al.
		Group Art Unit	1614
		Examiner Name	Not yet assigned
		Docket No.	FP0602.1 US

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS*	CITE NO.	U.S. PATENT DOCUMENT		NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	DATE OF PUBLICATION OF CITED DOCUMENT	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
		Number	Kind Code (if known)			
	1	5,607,954		Weidmann et al.	4 March 1997	
	2	5,610,172		Weidmann et al.	11 March 1997	
	3	5,620,995		Weidmann et al.	15 April 1997	
	4	5,620,996		Weidmann et al.	15 April 1997	
	5	5,658,933		Weidmann et al.	19 April 1997	
	6	5,719,164		Weidmann et al.	17 February 1998	
	7	5,726,305		Weidmann et al.	10 March 1998	
	8	5,916,898		Edwards et al.	29 June 1999	
	9	5,942,434		Ratcliffe et al.	24 August 1999	
	10	6,020,350		Weidmann et al.	1 February 2000	
	11	6,093,730		Weidmann et al.	25 July 2000	
	12	6,124,131		Semenza	26 September 2000	
	13	6,200,974	B1	Edwards et al.	13 March 2001	
	14	6,562,799	B1	Semenza	13 May 2003	

**FOREIGN PATENT DOCUMENTS**

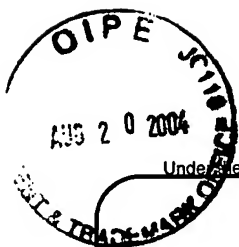
EXAMINER INITIALS*	CITE NO.	FOREIGN PATENT DOCUMENT			NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	DATE OF PUBLICATION OF CITED DOCUMENT	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR	T
		Office	Number	Kind Code (if known)				
	15	WO	02/074981	A2	Isis Innovation Ltd.	26 September 2002		
	16	WO	03/045440	A1	Angiogenetics Sweden AB	5 June 2003		
	17	WO	03/049686	A2	FibroGen, Inc.	19 June 2003		
	18	WO	03/080566	A2	Isis Innovation Ltd.	2 October 2003		
	19	WO	99/21860	A1	FibroGen, Inc. Zeneca Limited	6 May 1999		
	20	EP	0 650 961	B1	Hoechst Aktiengesellschaft	5 March 1997		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(List of References Cited by Applicants)</i>		U.S. Serial No.	10/729,704
		Filing Date	4 December 2003
		Applicant(s)	Guenzler-Pukall et al.
		Group Art Unit	1614
		Examiner Name	Not yet assigned
Sheet	2 of 2	Docket No.	FP0602.1 US
<b><u>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</u></b>			
EXAMINER INITIALS*	Cite No.		T
	21	Azevedo et al. (1995) Diabetes 44:695-698.	
	22	Bickel <i>et al.</i> (1998) Hepatology 28:404-411.	
	23	Bruick and McKnight (2001) Science 294:1337-1340.	
	24	DCCT Research Group (1993) New Eng J Med 329:977-986	
	25	Epstein <i>et al.</i> (2001) Cell 107:43-54.	
	26	Franklin <i>et al.</i> (1991) Biochem Soc Trans 19:812-815.	
	27	Franklin <i>et al.</i> (2001) Biochem J 353:333-338.	
	28	Friedman <i>et al.</i> (2000) Proc Natl Acad Sci USA 97:4736-4741.	
	29	Ivan <i>et al.</i> (2001) Science 292:464-468.	
	30	Ivan <i>et al.</i> (2002) Proc Natl Acad Sci USA 99:13459-13464.	
	31	Jaakkola <i>et al.</i> (2001) Science 292:468-472.	
	32	Jia <i>et al.</i> (1994) Proc Natl Acad Sci USA 91:7227-7231.	
	33	Kaule and Gunzler (1990) Anal Biochem 184:291-297.	
	34	Kivirikko and Myllyharju (1998) Matrix Biol 16:357-368.	
	35	Lee et al. (2003) High Alt Med Biol 4:81-91.	
	36	Majamaa <i>et al.</i> (1984) Eur J Biochem 138:239-245.	
	37	Majamaa <i>et al.</i> (1985) Biochem J 229:127-133.	
	38	Myllyharju and Kivirikko (1997) EMBO J 16:1173-1180.	
	39	Thornburg et al. (1993) Biochemistry 32:14023-14033.	
	40	UKPDS Group (1998) Lancet 352:837-853.	
	41	Dorman et al. (1984) Diabetes 33:271-276.	
EXAMINER		DATE CONSIDERED	
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			



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PTO/SB/21 (01-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

U.S. Serial No.	10/729,704
Filing Date	04 December 2003
Applicant(s)	Guenzler-Pukall et al.
Art Unit	1614
Examiner Name	Not yet assigned
Docket No.	FP0602.1 US

### ENCLOSURES (Check all that apply)

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                     | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Terminal Disclaimer  | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Request for Refund   | Form PTO/SB/08A (2 pages)  |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> CD, Number of CD(s) _____                                      | Copies of 41 cited references  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | Remarks   |  |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    |   |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	James E. Nesbitt, Ph.D. Reg. No. 54,575
Signature	
Date	18 August 2004

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450 on this date: 18 August 04

Typed or printed	Carolyn C. Cairns
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Signature		Date	18 August 04
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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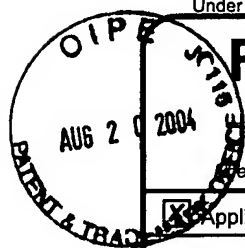
Carolyn C. Cairns  
Carolyn C. Cairns

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0

## Complete if Known

Application Number	10/729,704
Filing Date	04 December 2003
Applicant(s)	Guenzler-Pukall et al.
Examiner Name	Not yet assigned
Art Unit	1614
Docket No.	FP0602.1 US

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: FibroGen, Inc.  
Deposit Account Name: 50-0811

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	0
Multiple Dependent	-3** =	X	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

## SUBMITTED BY

Name (Print/Type)	James E. Nesbitt, Ph.D.	Registration No. (Attorney/Agent)	54,575	Telephone	650-866-7200
Signature	<u>James E. Nesbitt</u>	Date	18 August 2004		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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